

Date – January 13, 2006

RFI # 06ITZ0007
State of Connecticut
Department of Public Utility Control

Request for Information

For

**Migration from IBM Lotus Domino/Notes to a Microsoft System for
Case Management and Related Databases**

Issue Date:
January 13, 2006

Question Cut-Off Date:
February 1, 2006 @COB

RFI Submission Due Date:
February 28, 2006 @ 2:00 pm ET

Issued by:

The Department of Information Technology
101 East River Drive – 4th Floor
East Hartford, CT 06108

1. Overview

The Connecticut Department of Public Utility Control (hereinafter referred to as DPUC or the Department) is seeking information from vendors regarding Microsoft-based alternatives to its current Lotus Notes databases, which are used for filing and organizing official documents, distributing them electronically and via U. S. mail, and performing additional functions specified below. The objective is to determine if it would be advantageous, feasible and cost-effective to migrate the existing databases to an alternative system in order to come into compliance with the State's Microsoft standard.

This Request for Information (RFI) outlines the type of information being solicited from vendors and includes guidelines for content and format of responses.

Responses must be received no later than **February 28, 2006 @ 2:00 PM (ET)**. Responses will begin to be evaluated by the Agency on **February 28, 2006**. Late responses may or may not be considered, depending upon the needs of the Department of Public Utility Control. The DPUC requests an original and five hard copies, and one electronic copy. Hard copies of responses may be sent to:

Department of Public Utility Control
ATTN: Peter O'Neil
10 Franklin Square
New Britain, CT 06051

Electronic copies may be e-mailed to dpuc.executivesecretary@po.state.ct.us system timestamp for delivery no later than **February 28, 2006 2:00 P.M. ET.**

1. STATEMENT OF PURPOSE

The purpose of this RFI is to gather company and product information from vendors of COTS (Commercial of the Shelf Software) software that has the same or more functionality than Lotus Notes to meet the Department's needs for case management and related functions. Information being sought includes ability to migrate data from existing databases, product functionality, technology platform(s) and other specifics including ease of maintenance and enhancements.

2. Background

The Department of Public Utility Control is a quasi-judicial agency, meaning that most of its work is organized into cases, called dockets, usually initiated by applications from regulated companies. The Department reviews the application, may request additional information and hold hearings, and issues written decisions. Other filings are considered un-docketed. Some un-docketed filings are placed in specialized databases, and the Department creates additional databases as its needs change or to improve efficiency.

The Executive Secretary's Office is responsible for receiving, posting, distributing, mailing and storing official documents. These functions are now highly computerized, with most filings being received through the Docket Web Filing System and processed directly into the appropriate database. Incoming filings are distributed to assigned staff and Commissioners through e-mail, and outgoing documents are sent via e-mail to entities on the mailing lists who have agreed to e-service.

Others receive hard copies via U. S. mail. Most databases replicate to the Department's website every hour. In addition, the general public can sign up to receive DPUC documents in docketed cases via e-mail.

The Consumer Service Unit is responsible for receiving, documenting, and responding to utility customer complaints. It utilizes a database to store information and track these complaints. Various views of the data are available.

Commissioners and staff assigned to docketed cases use a calendaring function which shows each individual the events in the cases to which he or she is assigned (and only those cases).

Currently, the Department uses Lotus Notes databases for all of these functions. Two of the largest databases, the Active and In-Active Docket Databases, are very large: 4 gigabytes and 8 gigabytes of data, respectively. Many of the databases depend on each other for different functionalities and workflow. All of these databases must be migrated to any new system without loss of data or functionality.

3. Response Content

Each respondent is being asked to provide the following information:

Company

The Department is seeking organization and client profile information which may include their resellers or implementation partners. This information will be used to gain a better understanding of the nature and capability of each respondent including their experience with state regulatory agencies.

General Product Information

Generally, the Department is looking for clear statements about product functionality and features.

Business Requirements

See attached listing of Lotus Notes databases and functions at DPUC.

Technology

The technological solution will reside on state premises. The target technical architecture should conform to the State of Connecticut Enterprise Wide Technology Architecture standards

(<http://www.ct.gov/doit/site/default.asp>) **Featured Links (Architecture Requirements EWTA).** The target architecture should be n-tier, and department level .NET, SQL server solutions. All technology submissions will be considered, as the ultimate goal is to accomplish the business objectives. Also, vendors must provide a diagram of proposed target architecture with their submission. The technology should be scalable. Respondents should provide technology requirements for their product(s) including, if necessary, any special needs for making application modifications or deployment. The DPUC requires respondents to clearly state the requirements of each platform. All third party or proprietary hardware or software should be identified with respective version numbers. Browser product and support level must be identified.

If services such as application development/maintenance, data file conversion, product installation and training are also available these should be identified. Any and all rates for these services, if not part of the purchase price, should be identified.

Projected Costs

Cost is important, especially transition costs from Lotus Notes to a new system.

4. Presentations

RFI responses will be reviewed by the Department's staff. Respondents providing clear, concise information may be invited to make oral presentations and product demonstrations to staff members using a standardized script and presentation format (which will be provided to invited vendors). The Department will select examples that demonstrate functionality identified as being critical or important.

Only a limited number of firms will be invited to make presentations. Those firms not invited to participate in the RFI presentations will still have an equal opportunity to compete in the future RFP. It is possible that some respondents will not be invited due to logistical and time constraints. All onsite presentations will occur on State of Connecticut premises.

5. Disclaimers

The Department is asking for responses to this RFI for informational purposes only and will not be obligated in any way to use any of the information received. Vendors responding to this RFI will not be compensated in any way. Also, responding to this RFI will not enhance any vendor's chances of receiving future work from the Department. Similarly, not responding to this RFI will not be a detriment to any vendor when competing for future work. All RFI responses submitted by vendors will become the property of the State of Connecticut.

In addition, the Department will not be providing feedback regarding the quality or suitability of the vendor's solution to any subsequent RFP. The Department may, however, contact individual respondents for clarification of information contained in their response to this RFI. Vendors may refer the Department to jurisdictions with operating model installations or offer product demonstrations, but the state reserves the right to accept or decline any such referrals.

6. Questions

Administrative questions should be directed to: Vernon Derbabian of the State Department of Information Technology at Vernon.Derbabian@po.state.ct.us All questions are due by February 1st 2006 and answers will be posted on the DOIT Website no later than February 10, 2006 (the questions and answers will be an addendum to RFI #06ITZ0007.)

Attachment

Functions of the Existing Lotus Notes Databases at DPUC

Key points 1) The Databases work together for several critical functions. They are referenced in different ways for information checking (e.g. for web filer passwords) and for pulling information (e.g. pulling e-mail addresses for e-mailing). 2) The replication function copies only information that was changed, so that it is not a full database to database copy. The information is copied to other related and non-related Databases. *

DOCKET RELATED DATABASES

Personal Calendar Database

- Organizes and stores each individual's appointments
- Automatically enters events from docket schedules in Active Docket Database in calendars of assigned staff and Commissioners (and only those individuals). There are frequent changes in appointments; they are updated automatically.

Active and In-Active Docket Databases

- Organizes and stores electronic documents in docketed cases
 - Documents are organized first by docket number, then by type of document (application, correspondence, brief, etc.). Responses to interrogatories, motions and certain notices are shown underneath the initial document.
 - Various views of the data are possible.
- Allows manual posting of documents (as well as receipt through Web Filing)
- Allows various levels of access (read, edit, delete, etc.) controlled by system administrator
- Includes Docket Review Notification (DRN) Form that is electronically circulated to key staff to assign staff and Commissioners, enter other data
- Includes schedule form that allows for internal and external versions (some events don't show in external version)
 - This form works with calendaring function and the DRN form to show docket events on calendars of assigned staff and lead Commissioner
- Allows for distribution of documents that have been posted in the database to assigned staff within the agency via e-mail (using a database link)
- Allows for e-mail service of filings as attachments to docket participants and others (takes names from Service List Database and Public Notification List Database)
- Groups documents that have not yet been e-mailed so they can easily be found to be e-mailed
- Replicates to the website to allow public access
- Allows for full text searches both within the agency and on the website

Un-Docketed Database

- Organizes and stores un-docketed filings
- Currently does not provide for e-mailing to DPUC staff or externally
- Replicates to the website to allow public access

* Other important functions common to all these databases include the ability to track who has modified each document, and the flexibility to create new views, new types of documents, and new databases quickly as the agency's needs change.

Electronic Filing Database

- Allows for web filing into Active and In-Active Docket Databases, Un-docketed Database, Telcom Tariff Database and Complete Tariff Database (with intermediate stop for review by DPUC staff)
- A similar but separate system allows for web filing of hearing transcripts by court reporters

Service List Database

- Organizes and stores names, addresses and indicates whether individual has agreed to e-mail service
- Allows creation of mailing lists by selecting names
- Allows for revision of an entity's name or address only once (automatically changing on all affected mailing lists) rather than having to separately change each mailing list it may appear on
- Prints any of three sizes of envelopes for only those who have not opted for e-mail service (with option to print envelopes for all on mailing list)
- Calculates number of e-mails and number of envelopes for each mailing and each day
- Allows for e-mailing of meeting agendas
- Allows for mailing lists to be quickly copied to a new list
- Allows for quick changes to other data on mailing list entries, including consolidation of duplicate names entries without losing connected mailing list data
- Allows easy identification of which mailing lists any individual or entity is on
- Replicates to the website to allow public view of mailing lists and names and addresses

Docket Incoming Log

- Organizes and stores record of all incoming hard copy filings
- Accessible to DPUC staff only
- Tracks assignment of staff responsible for processing each filing
- Allows for full text searches

Final Decision Database

- Organizes and stores DPUC Final Decisions and some descriptive data
- Full text searchable
- Various views available
- Replicates to the website to allow public views

Telcom Tariff Database

- Organizes and stores revised telcom tariff filings
- Replicates to the website to allow public view
- Function of notifying filer that filing has been approved is currently not working

Complete (Telcom) Tariffs Database

- Organizes and stores complete telcom tariffs
- Replicates to the website to allow public access

Transcript Depository Database

- Allows for web filing of electronic transcripts from court reporters into Transcript Database (with intermediate stop for review by DPUC staff)

Transcript Database

- Organizes and stores transcripts of DPUC hearings
- Allows for entry of relevant data and calculates late penalty
- Replicates to the website to allow public access (except for confidential transcripts and with a time delay per contract with court reporters)

Public Notification List Database

- Allows anyone outside the DPUC to sign up on the website to receive DPUC documents by e-mail
- Allows those who have previously signed up to modify their information or their choices from the website
- Works with Active Docket Database to e-mail documents to those who want them

RPS Database

- Allows for web-based completion and filing of specialized applications
- Replicates to the website for public access (with some exclusions)

Box Storage Database

- Organizes and stores information regarding 7000 boxes in off-site storage
- Records call back and return dates

Address Book Database

- Organizes and stores names, e-mail addresses and other data for DPUC employees and all registered users of Web Filing System

OTHER DATABASES

Consumer Assistance Intake Log Database

- Organizes and stores DPUC staff notes and electronic documents related to consumer complaints.
- Full-text searchable.
- Several views available.

Info Area Database

- Organizes and stores miscellaneous data in categories, including utility industry-specific information, requests for proposals, daily hearing schedules, meeting agendas, etc.
- Allows authorized staff to quickly and easily add or delete entries in this database
- Replicates to the website to allow public viewing

Guide to Electric Choice Web Filing System

- Organizes and store data concerning electric suppliers and aggregators
- Allows web filing directly into this database
- Replicates to the web